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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/939,410	08/24/2001	Joseph A. Kwak	I-2-203US	4309

24374 7590 05/14/2003

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EXAMINER

TSEGAYE, SABA

ART UNIT

PAPER NUMBER

2662

DATE MAILED: 05/14/2003

9

Please find below and/or attached an Office communication concerning this application or proceeding.

SI

**Office Action Summary**

Application No.

09/939,410

Applicant(s)

KWAK, JOSEPH A.

Examiner

Saba Tsegaye

Art Unit

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 24 August 2001.
- 2a) ☐ This action is **FINAL**.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-31 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-31 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on \_\_\_\_\_ is: a) ☐ approved b) ☐ disapproved by the Examiner.
- If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

**Priority under 35 U.S.C. §§ 119 and 120**

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).
- a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

**Attachment(s)**

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO-1449) Paper No(s) 4,6,7.
- 4) ☐ Interview Summary (PTO-413) Paper No(s). \_\_\_\_\_.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_\_.

## **DETAILED ACTION**

### ***Claim Objections***

1. Claims 23 and 28 are objected to because of the following informalities:

In claim 23, the word "of" is misspelled.

In claim 28, the word "transmitters" is misspelled.

### ***Claim Rejections - 35 USC § 112***

2. The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

3. Claim 19-31 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention.

In claim 19, line 5, the phrase "said destination device" lacks antecedent basis.

In claim 23, the phrase "the maximum number" lacks antecedent basis.

### ***Claim Rejections - 35 USC § 102***

4. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this

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subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

5. Claims 1, 2, 4-6, 13, 14 and 16- 18, are rejected under 35 U.S.C. 102(e) as being anticipated by Schramm et al. (US 6,208,663).

Regarding claims 1 and 13, Schramm discloses, in Figs. 3 and 5, a method for adjusting data modulation in a wireless communication system, the method comprising:

- receiving data at a transmitter for transmission to a receiver (a radio base stations 22);
- formatting the received data into packets for transmission to the receiver, each packet having a particular encoding/data modulation (a radio base stations 22; column 5, lines 46-58);
- transmitting the packets to the receiver (column 5, lines 25-45);
- receiving the packets at the receiver (mobile stations 12);
- for each received packet, generating and transmitting an acknowledgment at the physical layer using a fast feedback channel, if the received packet has an acceptable error rate (column 7, lines 39-53);
- retransmitting that received packet at the transmitter, if an acknowledgment for that packet is not received (column 7, lines 39-53);
- collecting retransmission statistics (column 7, lines 1-13); and
- adjusting each particular encoding/data modulation using the collected retransmission statistics (column 7, lines 1-38).

Regarding claims 2 and 14, Schramm discloses the method wherein the particular encoding/data modulation is forward error correction FEC encoding /data modulation (column 7, line 54-column 8, line 11).

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Regarding claims 4 and 16, Schramm discloses the method wherein the packets are transmitted using a single carrier with frequency domain equalization air interface (column 4, lines 49-56).

Regarding claims 5 and 17, Schramm discloses the method wherein the acknowledgments are transmitted on the fast feedback channel using a CDMA air interface (column 4, lines 49-56).

Regarding claims 6 and 18, Schramm discloses the method further comprising at the receiver for each received packet transmitting a negative acknowledgment, if that packet has an unacceptable error rate (column 7, lines 39-45).

6. Claims 19-21, 29 and 31 are rejected under 35 U.S.C. 102(b) as being anticipated by Haartsen (US 6,021,124).

Regarding claim 19, Haartsen discloses, in Fig. 3, a network using a multi-channel ARQ method transmits data packets from a source 16 to a destination 18 over a communication link that is subdivided into a number of channels. Further, Haartsen, Fig. 4, discloses a MUX 22 (claimed a sequencer), a FIFO 28 (claimed n transmitters transmitting to their associated n receivers), a FIFO 29 (claimed a destination device having n receivers), and a DE-MUX 26 (claimed n hybrid ARQ decoders releasing packets which have an acceptable error rate). Further, Haartsen describes that the network halts the multiplexing of new data packets at the source during a subsequent multiplexing round until the destination positively acknowledges successful

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reception of a data packet and retransmit the data packets if no acknowledgement is received from the destination after a predefined time-out period.

Regarding claim 20, Haartsen discloses the communication system wherein the  $n$  signal transmitters each temporarily store a packet that has been transmitted in a buffer memory (column 7, lines 45-64); and

one of the  $n$  transmitters receiving an acknowledge signal from an associated hybrid decoder clearing the stored packet in readiness for receipt of another block (column 7, lines 45-64).

Regarding claim 21, Haartsen discloses the communication system wherein the  $n$  signal transmitters each temporarily store a packet that has been transmitted in a buffer memory (column 7, lines 45-64); and

one of the  $n$  transmitters failing to receive an acknowledge signal from its associated decoder retransmits the packet temporarily stored in its buffer memory (column 8, lines 1-11).

Regarding claim 29, Haartsen discloses the system wherein packets are transmitted using an orthogonal frequency division multiple access air interface in which frequency sub channels in an OFDMA set may be selectively muted (column 10, lines 40-47).

Regarding claim 31, Haartsen discloses the method wherein the acknowledgments are transmitted on a fast feedback channel using a CDMA air interface (column 9, lines 18-21).

***Claim Rejections - 35 USC § 103***

7. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

8. Claims 3 and 15 are rejected under 35 U.S.C. 103(a) as being unpatentable over Schramm in view of Agee (US 6,128,276).

Schramm discloses all the claim limitations as stated above except for: the packets are transmitted using an OFDMA air interface in which frequency sub channels in an OFDMA set may be selectively nulled.

Agee teaches a radio communication method that is compatible with discrete multiple tone and orthogonal frequency-division multiplex-like frequency channelization techniques (column 4, line 19-column 5, line 40).

It would have been obvious to one of ordinary skill in the art at the time of the invention was made to add a method that transmit packets using an OFDMA air interface, such as that suggested by Agee, in the method of Schramm in order to allow stationary and linear channel distortion to be modeled as an exactly multiplicative effect on the transmit spreading code

9. Claims 7, 8, 11 and 12 are rejected under 35 U.S.C. 103(a) as being unpatentable over Sipola (US 6,529,561) in view of Schramm et al. (US 6,208,663).

Regarding claim 7, Sipola discloses, in Figs. 2 and 5, a physical layer automatic request repeat system comprising:

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a transmitter having (260):

a physical layer transmitter for receiving data, formatting the received data into packets, each packet having a particular encoding/data modulation, transmitting the packets (column 10, lines 7-15; steps 500, 502), and retransmitting packets in response to not receiving a corresponding acknowledgment for a given packet (column 10, lines 16-28);

an ACK receiver for receiving the corresponding acknowledgment (step 510; column 7, line 60-column 8, line 3); and

a receiver having (264):

a physical layer receiver for demodulating the packets (column 10, lines 29-40);

a hybrid ARQ combiner/decoder for buffering, decoding and detecting packet errors (step 516; column 21-50); and

an acknowledgment transmitter for transmitting an acknowledgment for each packet, if that packet has an acceptable error rate (step 510; column 7, line 60-column 8, line 3).

However, Sipola does not expressly disclose collecting retransmission statistics and adjusting each particular encoding/data modulation using the collected retransmission statistics (as in claim 7); and a CDMA air interface (as in claim 11).

Schramm teaches that the radio base station RBS 22 counts the number of requests for retransmitted blocks and use alternative FEC coding and/or modulation scheme when the counted number of erroneously transmitted blocks exceeds some predetermined threshold (column 7, lines 1-12).

It would have been obvious to one ordinary skill in the art at the time of the invention was made add a collecting retransmission statistics method, such as that suggested by Schramm,

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in the method of Sipola in order to reduce the probability that the retransmitted block is received erroneously and improve overall system performance (column 4, lines 3-11).

Regarding claim 11, Schramm teaches an ARQ techniques use an alternative modulation/coding scheme using FDMA and CDMA air interface.

It would have been obvious to one ordinary skill in the art at the time of the invention was made to use CDMA, such as that suggested by Schramm, in the radio transmission system of Sipola in order to minimize interference and to increase the capacity data throughput.

Regarding claim 8, Sipola discloses the method wherein the particular encoding/data modulation is forward error correction FEC encoding /data modulation (column 2, line 29-37).

Regarding claim 12, Sipola discloses the system further comprising at the receiver transmitting a negative acknowledgment, if any packet has an unacceptable error rate (column 7, line 60-column 8, line 3).

10. Claims 24- 28 are rejected under 35 U.S.C. 103(a) as being unpatentable over Haartsen in view of Sipola (US 6,529,561).

Haartsen discloses all the claim limitations as stated above except for: receivers requiring a retransmission combines a retransmitted packet with an original transmitted packet to facilitate error correction (as in claims 24 and 26); a transmitter failing to receive an acknowledge signal from an associated decoder encodes that packet employing a different encoding technique from an encoding technique employed in an original transmission of that packet (as in claim 25); n

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transmitters are incorporated in a base station and the n receiver are incorporated in a subscriber unit (as in claim 27); and n transmitter are incorporated in a subscriber unit and the n receivers are incorporated in a base station (as in claim 28).

Regarding claims 24 and 26, Sipola discloses a receiver 264 that comprises means 222 for combining a received coded data block punctured by the first puncturing pattern and a received coded data block punctured by the second puncturing pattern.

It would have been obvious to one ordinary skill in the art at the time of the invention was made to add a combiner, such as that suggested by Sipola, in the receiver of Haartsen in order to provide a sufficient dense range of effective code rates to enable the code rate required by the channel conditions to be selected relatively accurately, which saves the valuable radio resource of the system (column 4, lines 26-30).

Regarding claim 25, Sipola teaches that the channel coder increases the code rate of the coded data block to be retransmitted by puncturing the coded data block coded by the channel coding of the original transmission by using a second puncturing pattern (column 3, lines 51-65).

It would have been obvious to one ordinary skill in the art at the time of the invention was made add a method that uses a different encoding technique when a transmitter failing to receive an acknowledge signal, such as that suggested by Sipola, in the encoding system of Haartsen in order to reduce the probability that the retransmitted block is received erroneously and improve overall system performance.

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Regarding claims 27 and 28, Sipola shows, in Fig. 1A, a transceivers 114, an antenna unit 112 that implementing a duplex radio connection 170, and a subscriber terminal 150.

It would have been obvious to one ordinary skill in the art at the time of the invention was made to add n transceivers in the base station or/and subscriber unit, such as that suggested by Sipola, in the multi channel (radio frequency channel) ARQ method of Haartsen in order to maximize data throughput.

11. Claims 22 and 23 are rejected under 35 U.S.C. 103(a) as being unpatentable over Haartsen (US 6,021,124) in view of Yonge, III et al. (US 6,522,650).

Haartsen discloses all the claim limitations as stated above except for one of the n transmitters clears its buffer memory if an acknowledge signal is not received from its associated decoder after a maximum number of retransmissions and the maximum number of retransmissions is an operator defined integer having a range from 1 to 8.

Yonge illustrates, in Figs. 23 and 24, flow diagrams of a response resolve process performed by the frame transmit process of TX handler. Further, Yonge teaches that the process 444 determines if the NACK-count is greater than the NACK-count threshold (in this example, a threshold of 4). If the NACK-count is determined to be greater then the threshold of 4, then the frame is discarded (column 26, line 60-column 27, line 41).

It would have been obvious to one ordinary skill in the art at the time of the invention was made to add a retransmission counter and a maximum number of retransmissions (1 to 8), such as that suggested by Yonge, in the transmitter (FIFO) of Haartsen in order to avoid overflow.

12. Claims 9 and 10 are rejected under 35 U.S.C. 103(a) as being unpatentable over Sipola in view of Schramm et al. as applied to claim 7 above, and further in view of Agee.

Sipola in view of Schramm et al. discloses all the claim limitations as stated above except for: the packets are transmitted using an OFDMA air interface; and frequency domain equalization (as in claim 10).

Agee teaches a radio communication method that is compatible with discrete multiple tone and orthogonal frequency-division multiplex-like frequency channelization techniques (column 4, line 19-column 5, line 40).

It would have been obvious to one ordinary skill in the art at the time of the invention was made to add a method that transmit packets using an OFDMA air interface, such as that suggested by Agee, in the method of Sipola in view of Schramm in order to allow stationary and linear channel distortion to be modeled as an exactly multiplicative effect on the transmit spreading code.

### ***Conclusion***

13. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

Anders Nustrom et al. (US 6,189,123) discloses a method and apparatus for communicating a block of digital information between a sending and a receiving station.

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Any inquiry concerning this communication or earlier communications from the examiner should be directed to Saba Tsegaye whose telephone number is (703) 308-4754. The examiner can normally be reached on Monday-Friday (7:30-5:00), First Friday off.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Hassan Kizou can be reached on (703) 305-4744. The fax phone numbers for the organization where this application or proceeding is assigned is (703) 872-9314.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (703) 306-0377.

ST  
May 12, 2003

**JOHN PEZZLO**  
**PRIMARY EXAMINER**

A handwritten signature in black ink, appearing to read 'J. Pezzlo', with a stylized flourish at the end.